

# Governor's Commission on Home and Community-Based Services

## Real System Change Mini-grants

### Purpose and Priorities

The Governor's Commission on Home and Community-Based Services was created to develop short- and long-term action steps that build community capacity for those persons at risk of being institutionalized or who are currently in an institution and who could be served in the community.

The mini-grants, supported by the Real Systems Change Grant funded by Centers for Medicare and Medicaid Services (CMS), are designed to create community partnerships, to provide incentives for public/private partnerships, and to encourage innovation at the community level between community stakeholders. **The first round of mini-grant awards were made in February 2003. If your entity submitted a proposal for the first round and was not awarded a grant, your proposal will be automatically reconsidered during the second round.**

The mini-grants are directed to the three major goals of the Commission:

- To develop community capacity in the areas of community living arrangements, housing, transportation, supported employment, and caregiver support.
- To develop systems that support consumer choice and consumer directed care.
- To develop innovative systems that identify and propose solutions to eliminate barriers to service.

While these areas are priorities, the Commission and FSSA will accept proposals that address other areas that propose, support, and validate enduring system changes. Grants will be considered if they foster collaboration among community partnerships. There will be more smaller grants given, rather than select larger grants to a few communities. Innovation will be favored over traditional, and initiating new capacities will be favored over expanding existing capacities. The focus will be on maximizing and leveraging the funds by working with matching and other funding sources in the local communities. **Additionally, ten (10) bonus points will be awarded to faith-based initiatives that otherwise meet the criteria in the second round.**

### Application Information

All grant proposals will contain information about the specific project as well as information demonstrating the capacity of the partners to manage the funds in a way that satisfies state grant funding guidelines. There shall be a lead agency that serves as the fiscal agent that assumes responsibility for the funds, the program, and the reporting requirements.

All grant proposals will be judged on their objectives, design, leadership, financial strength, and impact. All grant applications will include the following:

- Profile (form provided)  
The profile will outline the legal name, address of the lead organization, and contact information for the person responsible. In addition, documentation that the lead organization is a duly incorporated entity in the State of Indiana.
- Self Assessment (form provided)  
The self-assessment form outlines the general community assessment that outlines community assets, community partnerships, and statement of need, accompanied by the source of the needs assessment.
- Narrative (form provided)  
All applicants must submit a brief narrative (not more than two pages) that:
  - Describes the project/request
  - Relates the project to the goals of the Commission
  - Describes the desired measurable outcome(s) or expectations (i.e., What do you want to accomplish?)
  - Describes any cooperative or joint efforts with others, especially on the matching funds
  - Gives assurances that may be required by a grant category (i.e., continuity of effort, ability to be replicated, etc.)
- Budget (form provided)  
All applicants must submit a complete and correct budget in the suggested format that:
  - Reflects the grant request
  - Details a line-by-line budget
  - Details the matching funding by source

Note: the mini-grants cannot be used to support equipment for administrative purposes. Consideration will be given to one time purchases of equipment that supports the goals and objectives of the project such as a computer system to support a consumer education and/or public information program.

## **Grants Application Timeframe**

The mini-grant notice and instructions will be mailed out to all interested parties. Additional methods of advertising and notification will be utilized. There will be two rounds of grant solicitations.

The schedule for the first round of grants will be:

Solicitation of proposals	December 2 - December 13, 2002
Proposals due to FSSA	January 15, 2003
Proposals evaluated and approved	January 15 - February 14, 2003
Notice of awards	February 14, 2003

The schedule for the second round of grants will be:

Solicitation of proposals	March 3 - March 14, 2003
Proposals due to FSSA	April 15, 2003
Proposals evaluated and approved	April 15 - May 15, 2003
Notice of awards	May 15, 2003

## **Technical Assistance Conferences**

Two technical assistance conferences are scheduled for:

- Monday, March 17, 2003 from 1:30 p.m. - 3:30 p.m.
- Wednesday, March 19, 2003 from 10:00 a.m. - 12:00 p.m.

Both conferences will be held at:

Indiana Government Center South  
402 West Washington Street  
Room W-451  
Indianapolis, IN 46204

If you are unable to physically attend the conference, you can be connected by telephone. In order to be connected by phone, you must sign-up ahead of the conference. Availability is limited and will be on a first-come, first-serve basis. Please contact:

Laura Butler, 317-232-7842 or  
butlerla@fssa.state.in.us

Please begin work on the proposal prior to this conference. You will have an opportunity to ask questions and seek clarification at this conference.

## **General Grant Guidelines**

### **A. Application solicitation**

Applications will be solicited through a general notice to all interested stakeholders. Additionally, requests will be made to all stakeholder groups (associations, advocacy groups, providers, etc) to notify their respective membership. Notification will also be placed on the Commission's website.

### **B. Funding**

All of the funding for the mini-grants will be supported by the Real Systems Change Grant funded by the CMS as part of the President's New Freedom Initiative.

### **C. Matching funds**

The Real Systems Change Grant, as approved by CMS, requires that all grantees provide a 10 percent match. This match may come from community partners, a community foundation, or public or private source. While match may be "in-kind", it MUST be documented that the entire match is from a non-Federal source. Absolutely no federal dollars may be used to match the grant funds.

D. Reporting

Each grantee will be required to submit a six-month and twelve-month report in the prescribed format describing the grant activities and success in achieving the outcomes, including the potential replicability where and when appropriate.

E. Evaluation

Each grantee must establish measurable outcomes as a part of the grant application process. These outcomes will be used by the applicant to measure success. Additionally, the grants will be evaluated by State staff who will report the results to the Commission and after December 2003 to the Governor.

## Grant Fund Categories

As already noted, the Commission has three major goals. These are:

- To develop community capacity in the areas of community living arrangements, housing, transportation, supported employment, and caregiver support.
- To develop systems that support consumer choice and consumer directed care.
- To develop innovative systems that identify and propose solutions to eliminate barriers to service.

Underlying these goals are opportunities for communities to develop strategies that focus on the following areas:

- **Enrollment systems** include projects that support system coordination and that combine or coordinate services and enrollment systems.
- **Consumer choice** and consumer education, such as incentives and assistance for consumer directed care, including meaningful support to enable consumers and their families or caregivers to fully participate in their communities.
- **Public awareness initiatives** including programs that support the education and awareness of the need for, or the availability of, community services.
- **Streamlining and/or maximizing federal, state, or other funds.**
- **Eligibility guidelines** for expansion of access to and availability of services, especially to underserved populations.
- **Provider incentives** that encourage the expansion of service offerings that support community capacity for home and community-based services.
- **Private business incentives** for employers and individuals to plan and participate in providing for their current and future needs for long-term supports and services including attaining or maintaining employment.
- **Quality assurance and improvement** including strategies to ensure the safety and security of consumers who access services and supports in their communities.

The mini-grants will be up to \$40,000 (not including the match requirement).

Efforts will be made both through the solicitation, the evaluation, and the award process to ensure geographic distribution.

Examples of projects include:

- Demonstration of the integrated provision of services and supports to persons with the dual diagnosis of mental illness and developmental disability.
- Demonstration of a "no waiting" list system of supports and services for crisis intervention and respite care.
- Development of a consumer directed transportation system to supplement regular transportation. This project might include the consumer recruiting their own driver with the program paying the consumer rather than the driver.
- Development of a "problem resolution" center with a "24/7" access system to services that meet immediate needs.
- Demonstration of strategies to increase consumer integration into the workforce through innovative options including the use of telecommuting, technology, and consumer direction of supportive services such as transportation.
- Demonstration of local area planning, control, and capacity-building across all disability groups and including both public and private providers of transportation, housing, healthcare, employment, and education. Consumers, community, and business leaders should provide direction to the project.
- A project to increase and demonstrate supportive housing models in less urbanized areas of Indiana including opportunities to "build equity" and live in self-contained units with an optional menu of services and supports.
- A project to demonstrate the development of a network of consumers and families who have the ability and desire to assist each other. Part of this project would include the provision of caregiver support.

### **Grants Decision Making**

A group of personnel representing the Governor's Technical Advisory Group (GTAG) and the Consumer Advisory Council (CAC) shall act as the proposal evaluation team. The team will use the evaluation criteria stated below.

- Form of the proposal: Each proposal will be reviewed to determine compliance with the proposal preparation requirements outlined in the mini-grant application procedure.
- Adherence to the requirements: Adherence to the proposal date, time, and submission of all required documentation will be required. Adherence to the objectives of the Commission specified in the mini-grant application will be evaluated.
- Quality of proposal approach: The Commission is looking for innovative ways to create or increase community capacity, to create or improve systems that support consumer choice, and to eliminate the barriers that prevent people from getting the services they need.

These three areas include, but are not limited to, specific programs that focus on enrollment systems, support consumer directed care, consumer education, streamline or maximize dollars available for service, provide incentives to providers to expand capacity, and finally to improve the quality of community systems of care.

The procedures for evaluating the proposals against the evaluation criteria may be summarized as follows:

- Proposals that are incomplete or otherwise do not conform to proposal submission requirements will normally be eliminated from consideration. (In some instances, the applicant may be asked to correct the deficiencies and resubmit the proposal in the next cycle.)

- Each proposal will be evaluated on the basis of adherence to requirements and on quality.

Based on the results of the evaluation, the proposals determined to be most advantageous to the Commission will be selected as a mini-grant recipient. Mini-grants are subject to revocation at any time for any reason.

Attached forms:

1. SUMMARY/SIGNATURE PAGE
2. PROFILE
3. SELF ASSESSMENT
4. GRANT REQUEST
5. BUDGET FORM

## SUMMARY/SIGNATURE PAGE

Name of Project: \_\_\_\_\_

Name of sponsoring organization: \_\_\_\_\_

Project start date: \_\_\_\_\_

Project completion date: \_\_\_\_\_

Commission Goals (check one or all that apply)

\_\_\_\_\_ To develop community capacity in the areas of community living arrangements, housing, transportation, supported employment, and caregiver support.

\_\_\_\_\_ To develop systems that support consumer choice and consumer directed care.

\_\_\_\_\_ To develop innovative systems that identify and propose solutions to eliminate barriers to service.

### **Weighted Criteria to be used for evaluation:**

**10 points Form of the proposal**

**20 points Quality of the proposal eg; statement of impact on target area and/or target population**

**10 points Potential for replication**

**20 points Strength of community partnerships or collaboration**

**40 points Support for the Commission Goals**

**10 points Entity is faith-based**

Signature of authorized project personnel \_\_\_\_\_

Proposals MUST be received by 5:00 p.m. EST on the due date above. Proposals should be mailed to:

Laura Butler/MS18  
Family and Social Services Administration  
Bureau of Developmental Disabilities Services, DDARS  
402 West Washington Street, Room W453  
Indianapolis, IN 46204

## PROFILE

Name of the lead organization \_\_\_\_\_

Location address \_\_\_\_\_

\_\_\_\_\_

Mailing address \_\_\_\_\_

\_\_\_\_\_

Phone number \_\_\_\_\_ Fax number \_\_\_\_\_

Contact person \_\_\_\_\_

Title \_\_\_\_\_ Phone \_\_\_\_\_

Email address \_\_\_\_\_

Provide a brief description of the services provided by the lead organization:

How many members serve on the Board of Directors? \_\_\_\_\_

Name of the President of the Board of Directors \_\_\_\_\_

Is the organization incorporated in the State of Indiana? \_\_\_\_\_

Is the organization a 501-c-3 corporation? \_\_\_\_\_

List all organizations or groups participating in any multi-partner, collaborative project? (Use separate sheet if necessary)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## **SELF ASSESSMENT**

Provide a brief description of your community. (If you are a statewide organization, describe its organizational structure; eg. Local chapters, coalitions, or independent members)

What are the strengths or assets of your community that make you ready for a project like the one proposed?

What is the specific need that this project will address?

What is the source of this determination of need?

Is there community support for this project?

## GRANT REQUEST

Describe the project request:

How does this project relate to the goals of the Commission?

What do you expect to accomplish? (You must use measurable outcomes with projected dates for completion) **Note: The mini-grants are only for one year so outcomes must be within that time parameter. Some outcomes may be completed earlier.**

Are there other partners or collaborators with this project? Are any of the partners providing matching funds? (please provide a letter of support from each partner)

Will the Grantee(s) provide technical support for any effort by the state to replicate this project?

Is the grantee able to provide total or partial support for the project in future years?

## BUDGET FORM

Contact Person: \_\_\_\_\_

Phone Number: \_\_\_\_\_

	<b>Item Description</b>	<b>Mini-grant</b>	<b>Donations/ In-kind</b>	<b>Total Item Cost</b>
<b>Personnel</b>				
<b>Supplies</b>				
<b>Equipment</b>				
<b>Printing</b>				
<b>Postage</b>				
<b>Other</b>				
<b>Other</b>				
<b>Other</b>				
<b>Totals</b>				

***Note:** Please attach estimates if applicable. Attach additional sheets if necessary.*